



#4

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Form PTO-1449 (Substitute)	U.S. DEPARTMENT OF COMMERCE PATENT AND TRADEMARK OFFICE	Attorney Docket Number ARBS-1007US2 SRM/DBB	Serial/Patent Number 09/815,828
INFORMATION DISCLOSURE STATEMENT BY APPLICANT (Use several sheets if necessary)		Applicant/Patent Owner Yevin, et al.	
		Filing/Issue Date 3/23/01	Group Art Unit 3743 3753

U.S. PATENTS

Examiner Initial	Patent Number	Issue Date	Inventor	Class	Subclass	Filing Date
AVC	5,194,913	3/16/93	Myrick et al.	356	301	—
	5,376,556	12/27/94	Tarcha et al.	436	525	—
	5,400,136	3/21/95	Vo-Dinh	356	301	—
	5,404,218	4/4/95	Nave et al.	356	301	—
	5,468,644	11/21/95	Stephenson et al.	436	163	—
	5,498,875	3/12/96	Obremski et al.	250	458.1	—
	5,604,587	2/18/97	Che et al.	356	246	—
	5,615,673	4/1/97	Berger et al.	128	633	—
	5,621,522	4/15/97	Ewing et al.	356	301	—
	5,630,924	5/20/97	Fuchs et al.	204	601	—
	5,693,152	12/2/97	Carron	148	271	—
	5,836,317	11/17/98	Kunst	128	898	—
	5,866,430	2/2/99	Grow	436	172	—
	5,891,738	4/6/99	Soini et al.	436	501	—
	6,033,546	3/7/00	Ramsey	204	603	—
	6,040,906	3/21/00	Harhay	356	301	—
	6,044,285	3/28/00	Chaiken et al.	600	316	—
	6,064,897	5/16/00	Lindberg et al.	600	316	—
	6,087,182	7/11/00	Jeng et al.	436	66	—
	6,126,901	10/3/00	Patch et al.	422	64	—
	6,149,868	11/21/00	Natan et al.	422	82.05	—
	5,112,127	5/12/92	Carrabba et al.	356	301	—

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Examiner Initial	Patent Number	Issue Date	Inventor	Class	Subclass	Filing Date
AVC	6,141,095	10/31/00	Allen et al.	356	301	1
	6,181,957	1/30/01	Lambert et al.	600	319	1
	5,266,498	11/30/93	Tarcha et al.	436	525	1
	5,306,403	4/26/94	Vo-Dinh	204	182.8	1
	5,567,628	10/22/96	Tarcha et al.	436	525	1
	5,721,102	2/24/98	Vo-Dinh	435	6	1
	5,783,389	7/21/98	Vo-Dinh	435	6	1
	5,814,516	9/29/98	Vo-Dinh	435	287.2	1
	5,864,397	1/26/99	Vo-Dinh	356	301	1
AVC	5,938,617	8/17/99	Vo-Dinh	600	476	1
AVC	6,025,202	2/15/00	Natan	436	104	1

U.S. PATENT PUBLICATIONS

Examiner Initial	Patent Application Publication Number	Publication Date	Applicant

PENDING U.S. PATENT APPLICATIONS

Examiner Initial	Application Number	Filing Date	Inventor	Petition to Expunge? Yes No

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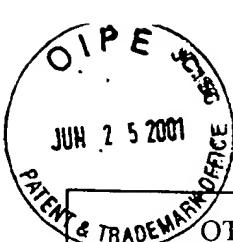
Sheet 3 of 5

FOREIGN PATENT DOCUMENTS

Examiner Initial	Document Number	Publication Date	Country	Class	Subclass	Trans-lation Yes No
AVC	EP 0 587 008	10.02.99	EPO	—	—	
	WO 01/06257	25.01.01	PCT	—	—	
	WO 98/50777	12.11.98	PCT	—	—	
	WO 99/44045	02.09.99	PCT	—	—	
	WO 99/44065	02/09/99	PCT	—	—	
	WO 01/15288	01.03.01	PCT	—	—	
	WO 99/67623	12/29/99	PCT	—	—	
✓	SU 1064-115 A	12/30/83	Soviet Union	—	—	✓
✓	JP 59-15792 A	1/26/84	Japan	—	—	✓

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AVC	Andres, R.P., et al., "Self-Assembly of a Two-Dimensional Superlattice of Molecularly Linked Metal Clusters," <i>Science</i> , Vol. 273, 20 September 1996, pp. 1690-1693.
	Campion, A. and Kambhampati, P., Surface-Enhanced Raman Scattering," <i>Chemical Society Reviews</i> , 1998, Volume 27, pp. 241-250.
	Chee, M., et al., "Accessing Genetic Information with High-Density DNA Arrays," <i>Science</i> , Vol. 274, 25 October 1996, pp. 610-614.
	Danilova, Y.E., et al., "Absorption Spectra and Photomodification of Silver Fractal Clusters," <i>Fractal Reviews in the Natural and Applied Sciences</i> , Institute of Automation and Electrometry, Russian Academy of Science, Siberian Branch, pp. 101-112.
	Elghanian, R., et al., "Selective Colorimetric Detection of Polynucleotides Based on the Distance-Dependent Optical Properties of Gold Nanoparticles," <i>Science</i> , Vol. 277, 22 August 1997, pp. 1078-1081.
	Gadenne, P., et al., "Giant Stokes Fields on Semicontinuous Metal Films," <i>J. Opt. Soc. Am. B</i> /Vol. 15 No. 1, January 1998, pp. 68-72.
✓	Graham, D., et al., "Selective Detection of Deoxyribonucleic Acid at Ultralow Concentrations by SERRS," <i>Analytical Chemistry</i> , Vol. 69, No. 22, November 15, 1997, pp. 4703-4707.
✓	Hacia, J.G., et al., "Enhanced high density oligonucleotide array-based sequence analysis using molecular nucleoside triphosphates," <i>Nucleic Acids Research</i> , 1998, Vol. 26, No. 21, pp. 4975-4982.



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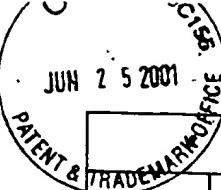
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LVC	Igloi, G.L., "Variability in the Stability of DNA-Peptide Nucleic Acid (PNA) Single-Base Mismatched Duplexes: Real-Time Hybridization During Affinity Electrophoresis in PNA-Containing Gels," <i>Proc. Natl. Acad. Sci USA</i> , Vol. 95, July 1998 Biochemistry, pp. 8562-8567.
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	Jones, J.C., et al., "Quantitative Assessment of Surface-Enhanced Resonance Raman Scattering For the Analysis of Dyes on Colloidal Silver," <i>Analytical Chemistry</i> , Vol. 71, No. 3, February 1, 1999, pp 596-601.
	Kim, W., et al., "Fractals in Microcavities: Giant Coupled, Multiplicative Enhancement of Optical Responses," <i>Physical Review Letters</i> , Volume 82, Number 24, 14 June 1999, pp. 4811-4814.
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	Mucic, R.C., et al., "DNA-Directed Synthesis of Binary Nanoparticle Network Materials," <i>J. Am. Chem. Soc.</i> , 1998; Volume 120, pp. 12674-12675.
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	Owen, J.F., et al., "Enhancement of Fluorescence Induced by Microstructure Resonances of a Dielectric Fiber," <i>Physical Review Letters</i> , Volume 47, Number 15, October 12, 1981, pp 1075-1078.
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↓	Ratilainen, T., et al., "Hybridization of Peptide Nucleic Acid," <i>Biochemistry</i> 1998, 37, pp. 12331-12342.

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LVC	Safonov, V.P., et al., "Spectral Dependence of Selective Photomodification in Fractal Aggregates of Colloidal Particles," <i>Physical Review Letters</i> , Volume 80, Number 5, 2 February 1998, pp. 1102-1105.
	Weitz, D.A., et al., "Colloidal Aggregation Revisited: New Insights Based on Fractal Structure and Surface-Enhanced Raman Scattering," <i>Surface Science</i> , Volume 158, 1985, pp. 147-164.
	Xiao, T., et al., "Hunting for the Active Sites of Surface-Enhanced Raman Scattering: A New Strategy Based on Single Silver Particles," <i>Physical Review Letters</i> , Volume 78, Number 9, 3 March 1997, pp. 632-638.
	Zou, S., et al., "Surface-Enhanced Raman Scattering of Ultrathin Cadmium Chalcogenide Films on Gold Formed by Electrochemical Atomic-Layer Epitaxy: Thickness-Dependent Phonon Characteristics," <i>J. Phys. Chem. B</i> 1999, 103, pp. 2323 -2326.
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Examiner

Date Considered

*EXAMINER: Initial if citation considered, whether or not citation is in conformance with MPEP 609. Draw line through citation if not in conformance and not considered. Include copy of this form with next communication to applicant.

*1 = Copy not submitted because it was submitted in prior application SN /_____, filed _____, 20_____, relied on under 35 USC §120.
 *2 = Copy not submitted because it was submitted in prior application SN /_____, filed _____, 20_____, relied on under 35 USC §120.



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Form PTO-449 (Substitute)		U.S. DEPARTMENT OF COMMERCE PATENT AND TRADEMARK OFFICE		Attorney Docket Number ARBS1007US2 SRM/DBB	Serial/Patent Number 09/815,828
INFORMATION DISCLOSURE STATEMENT BY APPLICANT (Use several sheets if necessary)		Applicant/Patent Owner Yevin, et al.			
		Filing/Issue Date 3/23/01	Group Art Unit 3743 3753		

U.S. PATENTS

Examiner Initial		Patent Number	Issue Date	First Named Inventor	Class	Subclass	Filing Date
LVC		5,814,565	9/29/98	Reichert et al.	422	82.11	

U.S. PATENT PUBLICATIONS

Examiner Initial		Patent Application Publication Number	Publication Date	Applicant

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PENDING U.S. PATENT APPLICATIONS

Examiner Initial		Application Number	Filing Date	First Named Inventor	Petition to Expunge? Yes No



2 #6 2 of 2

FOREIGN PATENT DOCUMENTS

Examiner *John C. Clark*

Date Considered

June 10, 2005

***EXAMINER:** Initial if citation considered, whether or not citation is in conformance with MPEP 609. Draw line through citation if not in conformance and not considered. Include copy of this form with next communication to applicant.

*1 = Copy not submitted because it was submitted in prior application SN /_____, filed _____, 20_____, relied on under 35 USC §120.
*2 = Copy not submitted because it was submitted in prior application SN /_____, filed _____, 20_____, relied on under 35 USC §120.

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<p>Form PTO-144 (Substitute)</p> <p>U.S. DEPARTMENT OF COMMERCE PATENT AND TRADEMARK OFFICE</p> <p>INFORMATION DISCLOSURE STATEMENT BY APPLICANT <i>(Use several sheets if necessary)</i></p>	<p>Attorney Docket Number ARBS1007US2 SRM/DBB</p>	<p>Serial/Patent Number 09/815,828</p>
	<p>Applicant/Patent Owner Yevin, et al.</p>	
	<p>Filing/Issue Date 3/23/01</p>	<p>Group Art Unit 3743 3753</p>

U.S. PATENTS

U.S. PATENT PUBLICATIONS

Examiner Initial		Patent Application Publication Number	Publication Date	Applicant

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#7 2 of 2

U.S. PATENT PUBLICATIONS				
Examiner Initial		Patent Application Publication Number	Publication Date	Applicant

PENDING U.S. PATENT APPLICATIONS

Examiner Initial		Application Number	Filing Date	First Named Inventor	Petition to Expunge? Yes No

FOREIGN PATENT DOCUMENTS

Examiner Initial		Document Number	Publication Date	Country	Class	Subclass	Trans-lation Yes No
JVC		WO 01/25758	4/12/01	PCT	—	—	
↓		WO 99/67641	12/29/99	PCT	—	—	

OTHER DOCUMENTS (Include author (if any), title, publisher and place of publication, date and pertinent pages)

		Shalaev, V.M., "Nonlinear Optics of Random Media: Fractal Composites and Metal-Dielectric Films," <i>Springer Tracts in Modern Physics</i> , pp. 101-147.

Examiner

JVC

Date Considered

June 10, 2005

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Sheet 1 of 1

Form TT-1449 (Substitute)	U.S. DEPARTMENT OF COMMERCE PATENT AND TRADEMARK OFFICE	Attorney Docket Number ARBS-1007US0 SRM/DBB	Serial/Patent Number 09/669,796
INFORMATION DISCLOSURE STATEMENT BY APPLICANT <i>(Use several sheets if necessary)</i>		Applicant/Patent Owner Yevin, et al.	
		Filing/Issue Date 9/26/00	Group Art Unit 1744 3753

U.S. PATENTS

Examiner Initial		Patent Number	Issue Date	Inventor	Class	Subclass	Filing Date
<i>AVC</i>		5,099,621	3/31/92	Schacklette	←	—	—

PENDING U.S. PATENT APPLICATIONS

Examiner Initial		Application Number	Filing Date	Inventor	Petition to Expunge? Yes No

FOREIGN PATENT DOCUMENTS

Examiner Initial		Document Number	Publication Date	Country	Class	Subclass	Trans-lation Yes No
<i>AVC</i>		SU 0905601 A	2/25/82	Russia	—	—	

OTHER DOCUMENTS (Include author (if any), title, publisher and place of publication, date and pertinent pages)

Examiner

Date Considered

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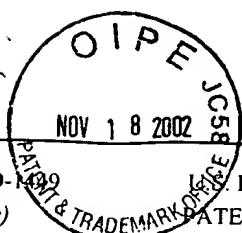
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Form PTO-1499 (Substitute)		U.S. DEPARTMENT OF COMMERCE PATENT AND TRADEMARK OFFICE	Attorney Docket Number ARBS-1007US0 SRM/DBB	Serial/Patent Number 09/815,828
INFORMATION DISCLOSURE STATEMENT BY APPLICANT (Use several sheets if necessary)		Applicant/Patent Owner Yevin, et al.		
		Filing/Issue Date 03/23/01	Group Art Unit 3743- 3753	

U.S. PATENTS

Examiner Initial		Patent Number	Issue Date	Inventor	Class	Subclass	Filing Date
LVC	1.	5,255,067	10/19/93	Carrabba et al.	356	301	11/30/90
	2.	5,334,296	08/02/94	Henkens et al.	204	153.12	06/28/93
	3.	5,391,272	02/21/95	O'Daly et al.	204	153.12	03/08/94
	4.	5,527,712	06/18/96	Sheehy	436	525	05/30/95
	5.	5,837,552	11/17/98	Cotton et al.	436	525	06/07/95
✓	6.	6,040,191	03/21/00	Grow	436	172	10/22/98

PENDING U.S. PATENT APPLICATIONS

Examiner Initial		Application Number	Filing Date	RECEIVED Inventor NOV 25 2002	Petition to Expunge? Yes No
				GROUP 3600	

FOREIGN PATENT DOCUMENTS

Examiner Initial		Document Number	Publication Date	Country	Class	Subclass	Trans-lation Yes No

OTHER DOCUMENTS (Include author (if any), title, publisher and place of publication, date and portion in pages)

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Examiner	LVC	Date Considered	June 10, 2005	DEC 17 2002
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